Washington State Archives and Records Management

# Local Records Grant Program July 1, 2003 to June 30, 2005

Guidebook and Application



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This booklet is designed for local government agencies who wish to apply for a Local Records Grant. The Washington State Archives encourages officials to discuss their projects with their Regional Archivists before writing an application.

All local government agencies are encouraged to participate. The grant program is competitive, awarding grants based on the merits of applications. There is a \$20,000 cap per award from the available funding.

### 2003-05 Application Deadline August 1, 2003

Applications **MUST** be received or postmarked by the deadline date.

Faxed applications will **not** be accepted.

Submit the signed original application plus five (5) photocopies.

Do not staple, permanently secure or place the original in any type of binding or folder; secure it with a binder clip or paper clip. Copies must be stapled.

Submit Applications to:

Washington State Archives Attn: Grant Program 1129 Washington Street SE Olympia, WA 98504-0238

# WASHINGTON STATE ARCHIVES TIMETABLE FOR 2003-2005 GRANT PROJECTS

August 1, 2003 Grant applications must be postmarked by this date

July – August Archives staff visits, assistance and guidance

September-October Oversight Committee review and recommendation

November State Archivist/Secretary of State review and decision

Early December Awards made

Mid December Grant Agreement executed

January, 2004 First Installment of Grant funds and projects may begin

June 30, 2004 1<sup>st</sup> interim narrative report

December 31, 2004 2<sup>nd</sup> interim narrative report

June 15, 2005 Final narrative report

June 30, 2005 All work on grant projects must be complete

#### 1. PROGRAM DESCRIPTION AND GUIDELINES

#### 1.1 INTRODUCTION

The Washington State Archives Local Records Grant Program supports local public records management and preservation efforts. Grants are funded with fees collected by County Auditors. This is a competitive grant program; the number of grant applications and the requested level of grant funding generally will exceed the total award amount available per grant cycle. Grants are reviewed by Washington State Archives staff and forwarded to the State Archives Oversight Committee. The committee will review and make funding recommendations to the Secretary of State. The grants are awarded by the Secretary of State on the Committee's advice and recommendation. The grant program project duration will be from January 1, 2004 to June 30, 2005.

All projects must be closed by June 30, 2005, which requires not only the submission and approval of a final report, but also repayment of any outstanding monies.

A Regional Archivist is assigned to each grant project. This individual is available to guide and assist you in successfully completing your project. Questions or requests for assistance may be directed to your Regional Archivist, or to the Grant Coordinator. The regional branch offices are open Monday through Friday from 8:00 am to 5:00 pm.

Northwest Branch: Diana Shenk, Regional Archivist 360-650-2813 Clallam, Island, Jefferson, San Juan, Skagit, Snohomish, and Whatcom Counties

<u>Southwest Branch: Wayne Lawson, Regional Archivist</u> 360-753-1684 Clark, Cowlitz, Grays Harbor, Lewis, Mason, Pacific, Skamania, Thurston, and Wahkiakum Counties

<u>Central Branch: Tim Eckert, Regional Archivist</u> 509-963-2136 Benton, Chelan, Douglas, Franklin, Grant, Kittitas, Klickitat, Okanogan, and Yakima Counties

<u>Eastern Branch: Sherry Bays, Regional Archivist</u> 509-359-6900 Adams, Asotin, Columbia, Ferry, Garfield, Lincoln, Pend Oreille, Spokane, Stevens, Walla Walla, and Whitman Counties

<u>Puget Sound Branch: Mike Saunders, Regional Archivist</u> 425-564-3950 King, Kitsap, and Pierce Counties

Grant Administrator: Sherry Bays, Eastern Regional Archivist 509-359-6900

#### 1.2 ELIGIBLE APPLICANTS AND PROJECTS

Any local government or political subdivision with taxing authority may apply for Washington State Archives Local Records grant funds. State or Federal agencies are not eligible for this program.

# Examples of the types of records management and/or preservation projects that qualify for consideration include, but are not limited to:

- ⇒Planning activities
- ⇒Records management
- ⇒ Microfilming
- ⇒Conservation of historically significant original records
- ⇒Equipment essential to the project
- ⇒Renovation for records storage
- ⇒Production of reference tools, finding aids, etc.

#### Ineligible activities include, but are not limited to:

- ⇒ Projects already completed
- ⇒ Expenses incurred prior to the start date of the grant period
- ⇒ Existing/permanent staff positions
- ⇒ Equipment not essential to the project
- ⇒ Capital improvements to buildings
- ⇒ Payments to lobbyists
- ⇒ Hospitality expenses
- ⇒ Prizes/awards
- ⇒ Benefit activities (social, fundraisers, etc.)
- ⇒ Educational outreach not available to the public
- ⇒ Tuition reimbursement for academic credit
- ⇒ Activities having a religious purpose
- ⇒ Inventories/guides not available to the public
- ⇒ Purchase of manuscripts/records

#### 1.3 GRANT FUNDING

Funding is capped at \$20,000 maximum award.

#### Approved project budget categories eligible for grant funding include:

- ⇒ Personnel costs as salary only for existing staff working beyond their normal work hours, new, part-time or temporary help
- ⇒Supplies, i.e. general office supplies, consumable items
- ⇒Travel that is appropriately and directly related to the project
- ⇒Commercial vendor services, such as microfilming, conservation, etc.
- ⇒Renovation labor, supplies or materials?

- ⇒Essential equipment such as storage cabinets, shelving, reader/printers or reader/scanners, humidifiers/dehumidifiers, etc
- ⇒Records storage supplies such as boxes, files, labels, etc.
- ⇒Other services, commodities, etc. that are pertinent and necessary to the project

#### 1.4 APPLICATION REVIEW AND AWARD PROCESS

The grant review process is a competitive one, with a set amount of grant monies available for distribution. *Projects that meet the criteria of the grant program, that are well conceived, fully described, and adequately supported in a complete application form, will receive the most favorable review.* The Washington State Archives regional Archivists may provide assistance and guidance in completing the application prior to the application deadline.

Projects may be awarded in full, partially funded, or denied funding. The recommended award list is forwarded to the Secretary of State for approval. Award letters and agreement forms are mailed to the successful applicants.

The Grant Program's Administrative Rules (WAC 434-670) provides the operational basis for the Local Records Grant Program. See Exhibit A at the end of the guidebook.

Applications for the 2003-2005 grant program are due August 1, 2003. Each application is reviewed for completeness, conformity to application requirements, soundness of budget, and relevance to the purpose of the grant program. The Washington State Archives Oversight Committee reviews the applications eligible for consideration and make award recommendations. The recommended award list is forwarded to the Secretary of State for approval. Award letters and agreement forms are then mailed to the awarded applicants.

#### 2. GRANT ADMINISTRATION

#### 2.1 General Information

Please review the Grant Program's *Administrative Rules* to familiarize yourself with the grant's requirements. (Exhibit A)

#### 2.2 Statutory Obligations

Application for and acceptance of grant project funds administered by the Washington State Archives, Office of Secretary of State, obligates the grant recipient to comply with:

RCW 40.30 Open Meeting and Records
RCW 40.04; .40.10; 40.14; and 40.20 Public and Business Records
RCW 39.04 as applicable for purchasing procedures
Title VI of the Civil Rights Act, the Rehabilitation Act of 1973,
The Age Discrimination Act of 1975 and the Americans with Disabilities Act of 1990

#### 2.3 Staff Assistance

Retain this *Application and Guidebook* for your reference and use after award of grant funds. Many questions that will occur as you implement your project are covered in this publication. Additional pertinent information, materials and forms will be forwarded to the project contact after grants are awarded.

The Washington State Archives will assign each grant project to a regional archivist. This individual is available to guide and assist you in successfully completing your project. For questions or assistance with your project please contact your local regional archivist.

#### 2.4 Project Changes

The assigned regional archivist must receive prior, written notification of any change to the grant project. Changes to the grant include, but are not limited to:

- Any pertinent personnel changes, such as authorized official, project contact person, or other project staff carrying out specific project assignments
- Programmatic changes, such as added or deleted record series from microfilming projects.

The State Archivist must receive prior written notification of any budget revisions. Approval of any budget revision must be received by project grantee <u>prior</u> to the expenditure of the desired fund reallocation.

Budget revisions, which are permitted only with official approval from the Washington State Archives is given under the following conditions:

- · the original award amount is not exceeded
- the submitted written request includes:
  - the reason for the revision
  - the total dollar amount of funds to be reallocated
  - · identification of which budget categories and/or budget line items are to be reduced/increased and by what amount

#### 2.5 Grant Payments

Recipients of grant awards will receive 60% of the award amount as a first grant payment generally by the end of January. The remaining funds due, will be paid upon submission and approval of the interim reports at 20% for the 2<sup>nd</sup> interim report due December 31, 2004 and 20% after completion of the final report.

#### 2.6 Project Bids and Expenditures

All procurements must meet local government purchasing requirements.

Project implementation and expenditure documentation is required to support all grant fund payments made by the Washington State Archives.

The instruction sheet provided with the *Report* forms has examples of approved documentation for commodities and services. Other documentation, may be necessary depending on your particular project. The report forms and instruction sheets are included in the project contact's packet that is mailed after grant award is made.

#### 2.7 Reports

The Washington State Archives Grant Program requires both the narrative and financial components of program progress reports be completed during the project period.

Documentation of expenditures and bids is required.

The *Final Report* is due on or before **June 15, 2005**. A check for unexpended, previous forwarded grant monies, and/or unexpended interest earned on those monies, must be returned to the Washington State Archives within 60 days of the completion of the project. **Submission of the** *Final Report* **in early June is highly encouraged to avoid a significant payment delay of several months of any remaining grant monies due the grantee.** The state computerized financial system's data migrates to the next fiscal year program during June; no grant payments can be processed until the data migration is completed.

#### 3. APPLICATION PREPARATION TIPS

#### Step One - Getting Oriented

- READ this *Guidebook and Application* to become familiar with the program
- Determine if your agency, institution or organization is eligible for this grant program and if your proposed project is eligible
- Understand what your responsibilities will be if you are awarded a grant
- Know what information must be included in your application
- Objectively evaluate your resources: do you have a realistic estimate of the funds, staffing and time needed to undertake and complete your project within the grant cycle time frame

NOTE: The best project proposals are focused, achievable and part of a long-term plan.

#### Step Two - Getting Started

You will want to refer to specific sections as you develop your proposal. The *Guidebook* will be a ready reference source of information to effectively administer an awarded grant.

- Use the application pages in this packet as MASTERS, save them to make working copies for use during your planning process
- Allow sufficient time to develop a successful proposal
- Do not procrastinate
- Prepare a draft, edit and revise to achieve the best proposal possible
- Research to determine realistic costs; don't underestimate the level of staffing and time commitment required. Costs can change; everything will take longer than you expected; anticipate delay and problems
- Contact your regional archivist for assistance if you have questions or need more information about the program in general, the finer details for your type of project, or the application in particular

#### Step Three - Putting It All Together

Follow the application guidelines, instructions and format. A submitted application must be complete.

- Use the current Application
- Respond to all the sections
- Arrange the pages in the correct order
- Attach all the appropriate support materials.
- Make your responses clear and to the point; your proposal will be judged on content, not weight
- Check and recheck your budget figures and computations
- Have someone in another agency or office, review your draft for clarity, typos, spelling errors, etc.

NOTE: The Washington State Archives staff at the regional branches will be available to assist in preparing and completing your application prior to the submittal deadline.

#### PROOFREAD THE FINAL DOCUMENT

- Use the Application Checklist to assure the application is complete and in the proper order.
- Submit the required six (6) copies: your original application plus five (5) photocopies. Do not staple any of the copies, and do not permanently secure or place in any type of binding or folder; secure with a binder clip or paper clip.
- Applications MUST be received or postmarked by August 1, 2003.

#### 4. APPLICATION INSTRUCTIONS

#### 4.1 Outline of Application Components

- Applicant Identification
- Budget Summary
- Project Proposal Narrative
- Budget and Financial Considerations
- Related Evaluation Factors
- Support Material

#### 4.2 General Instructions

Use the provided application pages and forms as a photocopy master to produce working copies as you develop your application. All pages of the application must be completed and arranged in the correct order. If you choose to produce and submit a word-processed application text rather than the provided pages for the application narrative, you MUST use the same headings and sequence as the application form.

All appropriate support materials MUST be attached to the application. The original application must be hand-signed by the properly authorized official. Retain a photocopy of the completed application for your files.

Submit six (6) copies: your original application plus five (5) photocopies. **Do not staple, or permanently secure or place in any type of binding or folder,** secure with a binder clip or paper clip.

The Washington State Archives must receive applications delivered or postmarked no later than August 1, 2003

#### 4.3 Specific Instructions

#### Applicant Identification

NOTE: For all agency or personnel entries, please provide full name, title, complete address including both street and post office box when appropriate, and zip code. Indicate if the phone and fax listing are the same number. If you wish to correspond by e-mail, please provide your e-mail address.

**Senate/Representative Districts** – This information is only used for statistical purposes. If you are unsure of the district, please call your local election authority.

**Applicant Agency** – This is the local government entity, or a sub-unit thereof, or other political subdivision with taxing authority as defined by Washington State Statutes. This agency is generally the direct beneficiary of the applied grant funds.

**Federal Employer Identification Number (FEIN)** - The FEIN number is necessary to set up your grant payment account.

**Authorizing Agency** – This is the local government entity or political subdivision with the authority to enter into binding contracts and encumber funds.

**Primary Project Contact** – This is the individual responsible for implementing the project on a day-to-day basis. The project reports may or may not be completed by this person. The Washington State Archives contact will be with this designated individual for the duration of the grant project.

**Application Preparer** – This entry identifies the individual responsible for gathering the application information and completing the forms. The Washington State Archives will contact this person should specific information pertaining to the proposed project be required.

**Budget Summary:** Identify and provide budget category costs and totals. These figures must accurately summarize the budget detail totals provided in your application narrative. Please note that <u>grant funds MUST be equal to the cost of new personnel</u>, <u>vendor</u>, <u>consultant services</u>, <u>or purchased commodities</u>, <u>products</u>, <u>equipment</u>, <u>etc.</u>

Round all figures off to the nearest dollar. Check your figures and computations to verify the costs entered and verify that local match percentages meet grant requirements.

<u>Signature of the Authorizing Official</u> establishes official approval of the submitted project proposal and budget. **The signatory individual must be the authorized local governmental or political subdivision official with the statutory authority to enter into binding contracts and encumber funds for the applicant agency.** 

NOTE: The authorized official will also be the signatory agent for the Grant Agreement, which establishes a contractual relationship between Secretary of State, Washington State Archives and the awarded grantee.

#### **Project Proposal Narrative**

**Statement of Purpose and Goal** - This is a <u>brief and clear</u> statement that identifies your problem and how it will be addressed.

**Project Summary** - Provides more detail for the statement of purpose and goal. It is a description of how the project will be developed and implemented. It describes the current situation, provides an overview of the necessary activities that will address your problem, and states the anticipated result of a successfully completed project.

**Detailed Timeline and Work Plan** - Lists by specific months, or weeks of the month, the progressive steps that will be accomplished within each time frame. Be sure to

allow sufficient preparation time at the beginning of your project and sufficient reporting time at the conclusion of your project. Your project must be completed, well in advance of submission and approval of your *Final Report* on or before June 30, 2005.

**Project Objectives** - Identify the expected results or outcomes you hope to achieve. These are specific, understandable, and when possible, measurable results.

**Evaluation of Project Results** - How will you identify and/or measure the anticipated results of your project? Will there be an improvement in: space allocation, job efficiency, job functions? Are cost savings expected? Are you able to serve the public or perform your duties more effectively?

#### **Budget and Financial Considerations**

**Budget Detail, Explanation and Justification** - Provide a detailed breakdown and cost basis for each component included in the budget category summarized in the *Budget Summary*. Provide a brief statement why these expenditures are appropriate and necessary. The total cost for each budget category on this page should be approximately equal to the totals shown in the *Budget Summary*. Remember, the *Budget Summary* figures have been rounded off to the nearest dollar.

#### **Line Item Entries**

**Personnel** – Show staff name (or position if new staff is to be hired), pay rate, hours to be worked and total for salary. If benefits are also to be paid, this should also be shown here.

**Supplies** – List the type, quantity and cost of the desired supplies and materials. Provide a per unit cost and totals.

**Travel** – Indicate the destination in state and reason for travel. Show the mileage and cost total at the local reimbursable rate or at the current state rate of 34.5 cents per mile, <u>whichever is lower</u>. When appropriate, meal and lodging costs are listed and included in this budget category.

**Other** – The cost of appropriate, project-related equipment or supplies.

**Shelving** – **ONLY** industrial-type metal shelving can be included here. These shelving units generally consist of four 13- gauge round-edge angle-upright posts drilled with holes at standard intervals. The shelves (30" by 42") are attached with stove bolts and nuts. Depending on the height of the unit, braces may be an additional shelving unit component. Other shelving with similar construction may also qualify including moveable metal shelving. List the per unit cost, the number of units desired, and the

total shelving cost. Any vendor installation costs are also included here. **NOTE:** <u>Wood</u> <u>shelving is not funded</u>.

**Funding Source** – Explain the need for grant funds and why local funds are not available to fully fund the project.

**Interest –Bearing Account** – Identify the banking institution or other deposit vehicle in which your grant payments will be held. Interest earned must be reported and either spent on the project or returned to Washington State Archives when the project is completed and the *Final Report* submitted.

**Accounting Methods and Audit Procedures** – What agency, department, or staff manages your finances? Are existing fiscal checks and balances in place? What type of audit does your agency undergo; who performs such review; and when was your last financial report or audit done?

#### **Related Evaluation Factors**

Impact of this Project and its Importance in Terms of Long-Range Planning – Describe the broader effect of meeting your objectives. How will this project fit into your agency's overall management, preservation and access plan?

Future Records Management and Preservation Projects – Are similar projects being considered by the entity? How will future activities be funded?

**Support Material -** All appropriate attachments **MUST** be included with your submitted application.

#### Required:

Completed Check Payee form

Include resumes of project personnel, consultant, volunteers, etc. who will be directly associated with project implementation. Briefly describe each person's regular duties/responsibilities as well as their project responsibilities.

Identify services, supplies, etc.; highlight the specific supply items that will be used.

Complete the necessary forms. Duplicate additional copies as needed. Include additions such as sample forms, letters of support, etc. as appropriate to your project. If you are requesting shelving include floor plans of the current and projected areas. Show the placement of shelving and any other equipment or furnishings.

If necessary add other <u>relevant</u> information/materials to support your proposal. This may include samples, photographs, and/or descriptions of items or services that are part of the project and have not been noted or illustrated elsewhere in the application.

#### 5. ADMINSTRATIVE RULES

#### The Washington State Archives Local Records Pilot Grant Program

PURPOSE: This rule outlines the management plan of the grants-in-aid program for local records.

- (1) The Washington State Archives Local Records Pilot Grant Program, administered by the Office of the Secretary of State, provides financial assistance to local government officials to support records management and preservation efforts, particularly for records of permanent retention. This grants-in-aid program is a significant effort in the overall mission of the program to enhance the quality of archival preservation and public access to records of enduring value.
  - (A) Activities supported by the Washington State Archives Local Records Pilot Grant Program:
    - 1. Planning
    - 2. Records Management
    - 3. Preservation
    - 4. Conservation
    - 5. Essential equipment
    - 6. Reference tools
    - 7. Education
    - 8. Temporary Help
  - (B) Ineligible Activities:
    - 1. Projects already completed
    - 2. Expenses incurred prior to the grant period
    - 3. Existing/permanent staff positions
    - 4. Equipment nonessential to the project
    - 5. Capital improvements to buildings
    - 6. Payments to lobbyists
    - 7. Hospitality expenses
    - 8. Prizes/awards
    - 9. Benefit activities (social, fundraisers, etc.)
    - 10. Educational outreach not available to the public
    - 11. Tuition reimbursement for academic credit
    - 12. Activities having a religious purpose
    - 13. Inventories/guides not available to the public and
    - 14. Purchase of manuscripts/records.
  - (C) Funding:
    - 1. The maximum grant award that can be requested is twenty thousand dollars \$20,000.

- (D) Who is eligible to apply?
  - 1. All local government entities including special purpose districts.
- (E) Who are **not** eligible to apply?
  - 1. Individuals
  - 2. State agencies (local public records housed by state agencies may be included in a grant application that is submitted and administered by the local official who has statutory authority over the records)
  - 3. Private organizations
  - 4. Federal agencies

#### (F) Evaluation of Proposals:

- 1. Washington State Archives staff will review grant applications for completeness, conformity to application requirements, soundness of budget, and relevancy to the objectives of the Washington State Archives Local Records Grant Program. These objectives may be reviewed, in part, by the Washington State Archives Oversight Committee based on, for example, research value and widespread citizen use. The proposal may be returned to the applicant institution for further development or clarification.
- 2. A summary will be prepared by the Washington State Archives for each complete application and forwarded to the Oversight Committee. The committee will review the applications at an open public meeting and make funding recommendations to the Secretary of State.
- 3. The Office of the Secretary of State will notify the applicant in writing if the proposal has been funded or rejected.

#### (G) Grant Application Requirements:

- 1. Identify local government entity and project personnel
- 2. Activity description:
  - a. Statement of purpose and goals
  - b. Project summary
  - c. Detailed analysis of plan, discussion of techniques and a timetable
  - d. Project objectives, and
  - e. Specific end results or products

#### 3. Funding Description

- a. Budget layout
- b. Budget explanation
- c. Need for outside funding
- d. Funding of future management and preservation projects, and
- e. Local entity's accounting methods and audit procedures.

#### 4. Relevant Information

- Evaluation of results (how will the success or failure be measured)
- b. Statement of any previous actions, and
- c. Description of importance of the project in terms of an overall, long-range record management program

#### 5. Authorization

- Signed and dated by proper official, and
- b. Identification of preparer of the application

#### 6. Support Material

- Letter of commitment from the applicant's funding authority
- b. Resumes of project personnel, consultants, volunteers, etc. and descriptions of their grant-funded duties
- c. Required forms
- d. Identification of necessary services, equipment, supplies, etc., and
- e. Other relevant information

#### (H) Grant Calendar

- 1. The grant period begins on the date of the award issued by the Office of the Secretary of State.
- 2. Grant projects must be completed in the awarded biennium (January 1 through June 30).
- 3. Grant funding payments.
  - a. A first payment of sixty percent (60%) shall be made upon award. An interim payment of 20% will be made after completion of the 2<sup>nd</sup> interim report due December 31, 2004 and the final twenty percent (20%) of the grant shall be paid to the grantee after successful completion, final report and verification by the Washington State Archives staff of the Office of the Secretary of State.
  - b. All unused grant funds and interest in possession of the grantee must be returned to the Washington State Archives Local Records Pilot Grant Program, within 60 days of completion.

#### (I) Accounting

Grantees must keep financial records for each grant in accordance with agreed upon accounting practices and apply approved record retention schedules. These records, as public records, shall be subject to inspection by the Washington State Archives staff and the Oversight Committee during regular business hours throughout the grant period. If any

litigation, claim, or audit is begun before the end of the retention period, records must be retained until such proceeding is resolved.

#### (J) Auditing Requirements

Grantees must comply with the audit requirements set forth in Washington statutes for local government units. The grantee is responsible for ensuring that the Washington State Archives receives copies of the audit report for any audit performed during the grant period or for the following three (3) years. Specific accounting requirements for the Washington State Archives Local Records Pilot Grant Program are:

- Grant money must be deposited in an auditable, interestbearing account. Interest received must be applied to the project.
- 2. Grant work must be monitored in progress. The Washington State Archives staff may visit the work site for review at any time during the project.
- 3. The grantee must submit one project interim report by March 31<sup>st</sup>.
- 4. Changes in the approved project, including changes of personnel, must be requested in writing to the Washington State Archives, Local Records Pilot Grant Program.
- 5. In the case of default by the grantee, the grant will be revoked and all unused funds must be returned to the Washington State Archives Local Records Pilot Grant Program. The Washington State Archives will notify the grantee of default in writing.
- 6. The grantee shall prepare a final report about the grant project by June 15.
- 7. Grantees must submit copies of all invoices with the final report, and
- 8. Grantees must adhere to local and state bid requirements and submit documentation with their final report.

#### (K) Conflicts of Interest

- The Washington State Archives Oversight Committee will not consider a proposal where a committee member or a member of the Secretary of State's staff derives compensation.
- 2. A board member shall abstain from reviewing or voting on proposals if she/he is directly or indirectly connected with a proposed project through employment at the same institution, indirectly supervises the project, or serves as an unpaid consultant to the project.

# 6. SAMPLE APPLICATION PAGES

Sample application forms/pages included in this section include:

**Applicant Identification** 

**Budget Summary** 

**Budget Formulation** 

### **6.1 APPLICATION FORM**

# Washington State Archives Local Records Grant Program 2003-2005 Grant Application



State Representative District: 164 State Senate District: 10

Applicant Agency:Chelan County ClerkCounty: Pitt

Agency Head: Siri Woods

Address: Chelan County Courthouse,

350 Orondo St

Wenatchee, WA 98801

Telephone: 509.667.6380 Fax: 509.664.2611 E-mail: siri.a.wood.@co.chelan.wa.us

Federal Employer Identification Number (FEIN): 44-44030020

Authorizing Agency (if different from above): Chelan County Commission

Authorizing Official/Title: Isaac Neville Charge, Presiding Commissioner

Address: ChelanCounty Courthouse,

350 Orondo St

Wenatchee, WA 98801

Telephone: 509.123.1234 Fax: 509.123.1235 E-mail: xxxx@co.chelan.wa.us

Primary Project Contact: Wright Hand, Deputy Clerk

Address: Chelan County Courthouse,

350 Orondo St

Wenatchee, WA 98801

Telephone: 509.123.1234 Fax: 509.123.1235 E-mail: handwr@co.chelan.wa.us

Application Prepared by:

Name/Title: Wright Hand, Chelan County Deputy Clerk

Telephone: 509.123.1234 Fax: 509.123.1234 E-mail: <a href="mailto:handwr@co.chelan.wa.us">handwr@co.chelan.wa.us</a>

# 6.2 BUDGET SUMMARY *∼SAMPLE*~

Date July 9, 2003

BUDGET CATEGORY	GRANT FUNDS REQUESTED
Personnel	6,562
Supplies	1,500
Travel	500
Vendor	
Consultant	2,500
Other: Specify	
Shelving (Standard Metal)	8,500 (including tax)
Subtotal	19,562

<b>Budget Category Subtotal</b>	\$19,562	
Total Grant Funds Requested:	<u>\$19,562</u>	
Certification of Authority to	Secure and E	Encumber Project Funds
John Q. Official, Mayor Printed Name/Title of Authorizing Official		JohnQ.Official  Printed Name/Title of Authorizing Official

# 6.3 BUDGET FORMULATION ~SAMPLE~

Project components are funded at 100% of the total project cost.

Personnel estimate = \$ 6,562(525hours x \$12.50/hr) Estimated Supply costs = \$ 1,500 (for folders and boxes)

Consultant estimate = \$2,500Travel = 500Shelving quote = \$8,500\$ubtotal = \$19,562

**Total budget breakdown:** 

Grant Funds Total Request = \$19,562

#### NOTE:

Grant funds MUST equal the cost of new personnel/consultant services, and purchased commodities/products/shelving.

Round your figures off to the nearest dollar to show whole dollar amounts for the Budget Summary.

# 7. WASHINGTON STATE ARCHIVES

2003-2005

LOCAL RECORDS

GRANT APPLICATION

FORM

# Washington State Archives Local RecordsGrant Program 2003-2005 Grant Application



State Representative District:		State Senate District:
Applicant Agency:		County:
Agency Head:		
Address:		
Telephone:	Fax:	E-mail:
Federal Employer Identification Nur	nber (FEIN):	
Authorizing Agency (if different fr	rom above):	
Authorizing Official/Title:		
Address:		
Telephone:	Fax:	E-mail:
Primary Project Contact:		
Address:		
Telephone:	Fax:	E-mail:
Application Prepared by:		
Name/Title:		Date:
Telephone:	Fax:	E-mail:

BUDGET CATEGORY	GRANT FUNDS REQUESTED
Personnel	
Supplies	
Travel	
Vendor	
Consultant	
Other: Specify	
Shelving (Standard Metal)	
Subtotal	

Budget Category Subtotal	\$	
Total Grant Funds Requested:	\$	
Certification of Authority to Sec	eure and Encumber Project Funds	
Printed Name/Title of Authorizing Official	Printed Name/Title of Authorizing Official	_
Date		

(Attach additional pages if necessary)
Statement of Purpose
Project Summary
Detailed Timeline and Work Plan
Project Objectives
Evaluation of Project Results

Budget and Financial Considerations	Local Records Grant Program 2003-2005
Budget Detail, Explanation, and Justification	
Interest-bearing Account Information	
Accounting Methods and Audit Procedures	

Statement of Previous Actions
Impact of this Project and its Importance in Terms of Long-Range Planning
Future Records Management and Preservation Actions
SUPPORT MATERIAL
Required:

Check Payee form Resumes of project personnel, consultant, volunteers, etc.

#### Required Project Specific:

Identification of services, equipment, supplies, etc. Other relevant information/materials as applicable

## Washington Secretary of State Washington State Archives Local Records Grant Program 2003-2005 Grant Application

#### **CHECK PAYEE FORM**

This form identifies the agency/institution/organization grant checks will be made payable to and the individual designated to receive mailed checks if electronic direct deposit is not requested.

#### **Check Payee Information:**

List the name and address of the check payee – <u>do not include an individual's name</u>
only the name and address of the agency to which the check must be made
payable.

AGENCY:	
ADDRESS:	(Include city, state, and zip)
may be the pauthorizing a	ate the individual to whom grant payments should be mailed. This person project contact, or other designated individual representing the applicant or agency. The check and/or other payment information will be mailed his individual.
NAME:	
ADDRESS:	(Include city, state, and zip)
TELEPHON	E:

# Washington Secretary of State Washington State Archives Local Records Grant Program 2003-2005 Grant Application

# GRANT APPLICATION QUESTIONAIRE Local Records Grant Program 2003-2005

The grant application process revolves around a series of questions developed to determine the type, value and location of your records management needs.

The following specific questions have been developed for your use. Your regional archivist will be available to assist you with questions on the familiar and unfamiliar aspects of this evaluation process.

This information will be used in the grant application review.

**1.) Who owns the Records?** (Examples: Do the records belong to more than one agency or jurisdiction?)

#### 2.) Where are the Records?

What is the physical location of the records? (Examples: Are they in an office, storeroom, vault, basement, loft, or warehouse? What floor of the facility are they on?)

What is the accessibility to the records? (Examples: Do you have to climb stairs up or down to get to the records? Is there elevator access? Do you have to climb a ladder to get to them? Are they in a secured area requiring special access? Are there times during the day that access to the records would not be possible?)

Can the records processed be moved to a different storage facility if it is determined that the area currently being used in inadequate or detrimental?

#### Local Records Grant Program 2003-2005 Questionnaire page 2

#### 3.) Why are the Records where they are?

Are there any particular reasons the records are where they are and in the current shape they are in? (Examples: inadequate facility space, audit, fire, natural disaster, criminal investigation, lawsuit, neglect?)

#### 4.) What are the Records?

What records exist? (Examples: correspondence, reports, audits, budgets, licenses, drawings, maps, payroll, receipts, time cards, artifacts, photographs, microfilm, microfiche, photos, videos, movies, slides etc.)

#### Are any of these records sensitive or confidential?

Are different media intermingled in the files?

Are there any existing file indexes or records inventories available for these records units?

<u>Is there anyone on the staff who knows anything about the history of these records?</u>

#### 5.) How many Records are we talking about?

<u>How many records boxes are there?</u> (Example: How many boxes are there in these various sized boxes: records letter, records legal, moving, copy paper?)

Local Records Grant Program 2003-2005
Questionnaire page 3

Que	Suoma	ne page 3
	Are th	ne records boxes on any kind of standardized records shelving?
	<u>lf so,</u>	what is the condition of the shelving units?
		many records are in file cabinets or open shelving units? (Example: How ile cabinet drawers and/or open shelves are there?)
6.) V	What is	the overall condition of the Records?
		is the physical condition of the records? (Examples: Are they clean, dirty, ter damaged, pest damaged, etc.?)
		ne records in good condition but the boxes or filing cabinets that the them in poor condition?
7.) V	What wo	orking space is available?
		records are currently in an unsuitable or hazardous location, is there able location available to move them to for processing?
	<u>Suitat</u>	ole space would include:
		An open and reasonably ventilated area.
		Acceptable lighting.
		Adequate security.
		Loading dock or pallet access.
		Access to electrical outlets for laptop computers.
		Is there access to recycling and garbage pick-up and shredding services?

# Local Records Grant Program 2003-2005 Questionnaire page 4

8.)	What working equipment is available? (Examples: hand-trucks, ladders, step stools, working tables and chairs, pallet jack, etc.)
9.)	What are the Records used for? (Examples: What are the records' function, purpose & contents? Do they serve different purposes for different users?)
10.	) How old are the records?
11.	) Are they originals, copies or duplicates? Do we need copies or duplicates, if so, how many?
12.	) What is the growth rate of the records series?
13.	) How are the Records asked for? (Example: How often are the records asked for and by whom?
14.	) What is the value of the records and how long are they to be kept? (Example: What are the retention and disposition regulations governing the records and their copies?)

#### Local Records Grant Program 2003-2005 Questionnaire page 5

4.00	one many page 6
15.)	Are the records essential (vital) records?
46 \ <i>(</i>	Could the records as to the State Archives if properly beyond and indeved?
10.) <u>(</u>	Could the records go to the State Archives if properly boxed and indexed?
17.) <u>\</u>	What physical facility and equipment issues need to be addressed? (Example: Will new or additional shelving be needed?)
·	
	Are there environmental issues having to due with safety during clean-up and
	disposition of records after clean-up? (Example: Will staff need to wear protective masks, aprons and gloves?)
19.)	What resources will the applicant need? (Example: State Archives personnel training for project development, new archives boxes, labels temporary staffing?)
	g.,

## 2003-2005 Application Checklist

Use this checklist to review your application before submitting it. Applications will be returned for more information, and may be considered ineligible, if the following items are incomplete or missing.

#### APPLICANT IDENTIFICATION

Senate/Representative Districts Provided Applicant, Government Entity and Project Contact Identified Federal Employer Identification Number (FEIN) Provided "YES" or "NO" Decision Checked for Electronic Fund Transfer Application Preparer Identified

### **BUDGET SUMMARY**

Summary Sheet Completed and Budget Detail Totals Correct Authorized Official's Signature Included

### PROJECT PROPOSAL NARRATIVE includes

Statement of Purpose Project Summary Timeline and Detailed Work Plan Project Objectives Evaluation of Project Results

### **BUDGET AND FINANCIAL CONSIDERATIONS**

Budget Detail, Explanation and Justification Provided Funding Source Indicated Interest-bearing Account Information Provided Accounting Methods and Audit Procedures Addressed

#### **RELATED EVALUATION FACTORS**

Statement of Previous Actions
Project Impact and Importance of Project in Terms of Long Range Planning
Future Records Management and Preservation Projects

### **ATTACHMENTS**

Check Payee form

Grant application questionnaire

Resumes of project personnel, consultant, volunteers, etc.

Identification of services, equipment, supplies, etc.

Other or Project specific relevant materials as appropriate:

Other relevant information, if applicable

Paper or binder-clip (do not staple) one Original and 5 photocopied applications for submission.

Delivery or postmark ensured for August 1, 2003.

### **EXHIBIT A**

#### WAC 434-670

The Washington State Archives Local Records Grant Program

WAC 434-670-010. WASHINGTON STATE ARCHIVES LOCAL RECORDS GRANT PROGRAM. The Washington State Archives Local Records Grant Program, administered by the Office of the Secretary of State, provides financial assistance to local government officials to support records management and preservation efforts, particularly for records of permanent retention. This grants-in-aid program is a significant effort in the overall mission of the program to enhance the quality of archival preservation and public access to records of enduring value. This grant program is governed by this chapter and by RCW 36.22.175.

### WAC 434-670-020. ELIGIBLE AND INELIGIBLE ACTIVITIES.

- (1) The following activities, including but not limited to, are eligible for support through grants administered pursuant to this chapter:
  - a. Planning
  - b. Records Management
  - c. Preservation
  - d. Conservation
  - e. Professional consultants
  - f. Essential equipment
  - g. Reference tools, and
  - h. Education
  - I. Temporary Personnel
- (2) The following activities, including but not limited to, are ineligible for support through grants administered pursuant t this chapter:
  - a. Projects already completed
  - b. Expenses incurred prior to the grant period
  - c. Existing/permanent staff positions
  - d. Equipment nonessential to the project
  - e. Capital improvements to buildings
  - f. Payments to lobbyists
  - h. Hospitality expenses
  - i. Prizes/awards
  - j. Benefit activities (social, fundraisers, etc.)
  - k. Educational outreach not available to the public
  - I. Tuition reimbursement for academic credit
  - m. Activities having a religious purpose
  - n. Inventories/guides not available to the public and;
  - o. Purchase of manuscripts/records.

WAC 434-670-030. ELIGIBILITY. Local government entities, including special purpose districts, are eligible to apply for grants under this chapter. Entities other than local governments, such as individuals, state agencies, federal agencies, and private

organizations are ineligible, but local public records housed by state agencies may be included in a grant application that is submitted and administered by the local official who has statutory authority over the records.

### WAC 434-670-040. EVALUATION OF PROPOSALS.

- (1) Washington State Archives staff will review grant applications for completeness, conformity to application requirements, soundness of budget, and relevancy to the objectives of the Washington State Archives Local Records Grant Program. [Staff may also consider, in addition to the factors specified above the potential for widespread citizen use, research value and value for ongoing governmental operation of the proposed project including improvements to existing operations.] The proposal may be returned to the applicant institution for further development or clarification, prior to application deadline.
- (2) A summary will be prepared by the Washington State Archives for each complete application and forwarded to the Oversight Committee. The committee will review the applications at its annual public meeting and make funding recommendations to the Secretary of State.
- (3) The Office of the Secretary of State will notify the applicant in writing as to whether the proposal has been funded or rejected.
- (4) The Office of the Secretary of State will notify the applicant in writing as to whether the proposal has been funded or rejected.

## WAC 434-670-050. GRANT APPLICATION REQUIREMENTS. In order to be complete an application must include:

- (1) Identification of local government entity and project personnel;
- (2) A description of the activity proposed for funding including:
  - A. Statement of purpose and goals;
  - B. Project summary;
  - C. Detailed analysis of plan, discussion of techniques and a timetable;
  - D. Project objectives; and
  - E. Specific end results or products.
- (3) A funding description, including:
  - A. Budget layout;
  - B. Budget explanation;
  - C. Need for outside funding;
  - D. Funding of future management and preservation projects; and
  - E. Local entity's accounting methods and audit procedures.
- (4) Relevant Information, including:
  - A. Evaluation of results (how will the success or failure be measured):
  - B. Statement of any previous actions; and
  - C. Description of importance of the project in terms of an overall, long-range record management program
- (5) Authorization, including:
  - A. Being signed and dated by proper official; and

- B. Identification of preparer of the application.
- (6) Support Material, including:
  - A. Letter of commitment from the applicant's funding authority;
  - B. Resumes of project personnel, consultants, volunteers, etc., and descriptions of their grant-funded duties
  - C. Required forms;
  - D. Identification of necessary services, equipment, supplies, etc.; and
  - E. Other relevant information

### WAC 434-670-060. GRANT CALENDAR.

- (1) The grant period begins on the date of the award issued by the Office of the Secretary of State. Grant projects must be completed in the awarded biennium.
- (2) The grant payment and reporting schedule will be approved and published by the Oversight Committee for each grant cycle. All unused grant funds and interest in possession of the grantee must be returned to the Washington State Archives Local Records Grant Program within 60 days of completion.

WAC 434-670-070. ACCOUNTING. Grantees must keep financial records in accordance with the accounting practices generally applicable to their local government accounting practices and apply approved record retention schedules. These records, as public records, shall be subject to inspection by the Washington State Archives staff and the Oversight Committee during regular business hours throughout the grant period. If any litigation, claim, or audit is begun before the end of the retention period, records must be retained until such proceeding is resolved.

WAC 434-670-080. AUDITING REQUIREMENTS. Grantees must comply with the audit requirements set forth in Washington statutes for local government units. The grantee is responsible for ensuring that the Washington State Archives receives copies of the audit report for any audit performed during the grant period or for the following three (3) years. Specific accounting requirements for the Washington State Archives Local Records Grant Program are:

- (1) Grant money must be deposited in an auditable, interest-bearing account. Interest received must be applied to the project.
- (2) Grant work must be monitored in progress. The Washington State Archives staff may visit the work site for review at any time during the project.
- (3) Changes in the approved grant, including changes of personnel, must be requested in writing to the Washington State Archives, Local Records Grant Program.
- (4) In the case of default by the grantee, the grant will be revoked and all unused funds must be returned to the Washington State Archives Local Records Grant Program. The Washington State Archives will notify the grantee of default in writing.
  - (5) The grantee shall submit a final grant report by June 30.
  - (6) Grantees must submit copies of all invoices with the final report, and
- (7) Grantees must adhere to local and state bid requirements and submit documentation with the final grant report.

### WAC 434-670-090. CONFLICTS OF INTEREST.

- (1) The Washington State Archives Oversight Committee will not consider a proposal where a committee member or a member of the Secretary of State's staff derives compensation from the proposed grant.
- (2) A board member shall abstain from reviewing or voting on proposals if she/he is directly or indirectly connected with a proposed project through employment at the same institution, [directly or] indirectly supervises the project, or serves as an unpaid consultant to the project.

### **ATTACHMENT A**

# **Washington State Archives Local Records Grant Program**



### **Interim Narrative Report Instructions**

The interim narrative report is submitted every six months during the grant period. The submittal of this report will allow the Washington State Archives to review the progress made on the project. It summarizes the accomplishments and procurement activities to date, and updates staff on any problems or delays that may need special attention. It also reports on the expenditures to date.

Complete ALL questions on the following form.

Please note that if any portion of the contract/grant agreement was amended, the approved amendment will be used in the final report.

Complete the signatures certifying the report. Be sure that all required signatures are included.

Submit one original and two copies of the report to:

Washington State Archives
Local Records Grant Program
Attn: Sherry Bays, Grant Coordinator
Eastern Washington University
102 Surbeck Bldg
Cheney, Washington 99004

# Washington State Archives Local Records Grant Program 1st Interim Narrative Report



Agency	_Grant Agreement #			
Reporting Period: January 1, 2004 through June 30, 2004				
Submitted by	Date			
1. Summarize the project progress.				
2. State any problems encountered that may outcome of the project.	r create significant delays or affect the			
3. List specific objectives and activities acco	mplished to date.			

# **Washington State Archives**

Local Records Grant Pr	ogram			
1 <sup>st</sup> Interim Narrative Rep	oort – Page 2			
4. Summarize materials purcl	nased to date.			
	activities (such as personal se rmance) not yet completed an			
6. Complete the following budget table.				
GRANT AMOUNT AWARDED	AMOUNT SPENT TO DATE	ESTIMATED FUTURE EXPENDITURES		
As of				
Date				
Signatures Certifying 1 <sup>st</sup> Int	erim Narrative Report			
Project Manager	Dat	te		
Authorized Signatory	Dat	te		

### **ATTACHMENT B**

# Washington State Archives Local Records Grant Program 2<sup>nd</sup> Interim Narrative Report



Agency	Grant Agreement #			
Reporting Period: July 1, 2004 through December 31,2004				
Submitted by	Date			
Summarize the project progress.				
<ol> <li>State any problems encountered that may create significant delays or affect the outcome of the project.</li> </ol>				
outcome of the project.				
3. List specific objectives and activities accomplished to date.				

# Washington State Archives Local Records Grant Program 2<sup>nd</sup> Interim Narrative Report – Page 2

4. Summarize materials purchased to date.					
5. Summarize procurement activities (such as personal service contracts, vendor selection, and vendor's performance) not yet completed and include estimated completion date.					
6. Complete the following bud	lget table.				
GRANT AMOUNT AWARDED	AMOUNT SPENT TO DATE	ESTIMATED FUTURE EXPENDITURES			
As of Date					
Signatures Certifying the 2 <sup>nd</sup> Interim Report					
Project Manager		Date			
Authorized Signatory		)ate			

### ATTACHMENT C

# **Washington State Archives Local Records Grant Program**



### **Final Narrative Report Instructions**

The final report will stand alone as a complete summary of this project. It must address the project objectives and the evaluation of the project.

Complete ALL questions on the following form.

Please note that if any portion of the contract/grant agreement was amended, the approved amendment will be used in the final report.

Complete the signatures certifying the final report. Be sure that all required signatures are included.

Submit one original and two copies of the final report to:

Washington State Archives
Local Records Grant Program
Attn: Sherry Bays, Grant Coordinator
Eastern Washington University

Cheney, Washington 99004

211 Tawanka

# Washington State Archives Local Records Grant Program



### **Final Narrative Report**

Agency	_Grant Agreement #		
Reporting Period: January 1, 2005 through June 30, 2005			
Submitted by	Date		
Summarize the project, the sit objectives of the project.	tuation it was intended to address, and the		
2. Summarize the results of the problems or unexpected outcom	project, including activities accomplished, and any es encountered.		

Washington State Archives
Local Records Grant Program

## Final Narrative Report – Page 2

3. Did the project meet its stated objectives? Compare t actual accomplishments.	he project objectives to		
Was the entire grant award expended? If not explain	٦.		
4. Include before and after photos is applicable.			
Signatures Certifying the Final Report			
We certify that all of the information contained herein is correct to the best of our knowledge. We certify that the objectives of this grant were achieved.			
We certify this report includes an analysis of each objective of this grant and an evaluation of the impact this grant has made on our services.			
We certify \$ has been used and \$	of the amount originally		
awarded was not used and the reasons are explained in this report.			
Project Manager	Date		
Authorized Signatory	Date		